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JFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Juan Loaiza, et al.

Serial No.: 10/435,229

Filed on: May 9, 2003

) Confirmation No.: 1222  
)  
) Examiner: Coulter,  
) Kenneth R  
)  
) Group Art Unit No.: 2141

For: USING LOCAL LOCKS FOR GLOBAL SYNCHRONIZATION IN MULTI-NODE SYSTEMS

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is at least one copy of Form PTO/SB/08 (A or B) together with copies of the documents cited on that form, if needed. Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

☐

37 C.F.R. §1.97(b). It is respectfully requested that the cited documents be considered and that each enclosed copy of Form PTO/SB/08 (A or B) be initialed by the Examiner to indicate such consideration and a copy thereof returned.

☐

37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes one of the following:

☐

A statement pursuant to 37 C.F.R. §1.97(e)

☐ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

☐ 1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

☐ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

It is respectfully requested that the cited documents be considered and that each enclosed copy of Form PTO/SB/08 (A or B) be initialed by the Examiner to indicate such consideration and a copy thereof returned.



37 C.F.R. §1.97(d). If so, then this Information Disclosure Statement includes the following:



A statement pursuant to 37 C.F.R. §1.97(e)



1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; OR



1.97(e)(2) The undersigned hereby states that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

AND



A check for \$180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

It is respectfully requested that the cited documents be considered and that each enclosed copy of Form PTO/SB/08 (A or B) be initialed by the Examiner to indicate such consideration and a copy thereof returned.



37 C.F.R. §1.97(i). The undersigned is submitting references to satisfy disclosure obligations in hopes that the references will be considered by the Examiner. Although the submission does not fully meet 37 C.F.R. §1.97, it is respectfully requested that the cited documents be considered and that each enclosed copy of Form PTO/SB/08 (A or B) be initialed by the Examiner to indicate such consideration and a copy thereof returned to Applicant(s). It is understood that if the Examiner does not consider the cited references, the cited documents will be placed in the file pursuant to 37 C.F.R. §1.97(i).

Accordingly, copies of the references as listed on each enclosed copy of Form PTO/SB/08 (A or B) are submitted herewith, if needed. No certification or fees are deemed necessary.



The Examiner is hereby notified that the present application is related to the following related application(s):

**DISCLOSURE OF RELATED APPLICATIONS**

U.S. Application/ Pat. No.	File Date	Atty. Docket. No.

The related application(s) may contain subject matter that is related to the subject matter of the present application. The related application(s) may contain one or more claims that may be substantially similar to one or more claims in the present application, and those claims may have been rejected in the related application(s). Therefore, the Examiner is encouraged to review the file history(ies) of the related application(s) as some of the information contained therein may be material to the examination of the present application.



The Examiner is hereby notified that for the following related application(s) an Office Action has been received as indicated below:

**DISCLOSURE OF OFFICE ACTIONS**

U.S. Application/ Pat. No.	File Date	Office Action Mailing Date	Atty. Docket. No.
11/418,782	05/05/2006	05/02/2007	50277-2873

The related application(s) may contain one or more claims that may be substantially similar to one or more claims in the present application, and those claims may have been rejected in the related application(s). Therefore, the Examiner is encouraged to review the file history(ies) of the related application(s) as some of the information contained therein may be material to the examination of the present application.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: Aug 20, 2007



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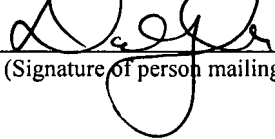
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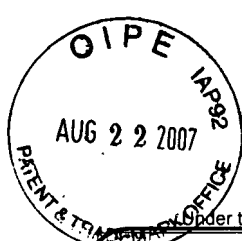
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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**Complete if Known**

Application Number	10/435,229
Filing Date	May 9, 2003
First Named Inventor	Juan Loaiza
Art Unit	2141
Examiner Name	Coulter, Kenneth R
Attorney Docket Number	50277-2200

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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		4,438,494	08-19-1997	Devarakonda et al.	
		5,285,528	08-03-1999	Srblic et al.	
		5,410,697	12-07-1999	Ranger	
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		6,067,550	03-04-2003	Chan	

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Examiner Name	Coulter, Kenneth R
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		Number-Kind Code <sup>2</sup> (if known)			
		6,115,715	02-24-1998	Johnson	
		6,151,607	01-01-2002	Varma	
		6,253,273 B1	06-26-2001	Blumenau	
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		2004/0225742 A1	11-11-2004	Loaiza, et al.	
		2005/0149540 A1	07-07-2005	Chan et al.	

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Application Number	10/435,229
Filing Date	May 9, 2003
First Named Inventor	Juan Loaiza
Art Unit	2141
Examiner Name	Coulter, Kenneth R
Attorney Docket Number	50277-2200

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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		CLAIMS, Canadian Patent Application No. 2,448,050, 48 pages.	
		OFFICE ACTION, Canadian Patent Application No. 2,448,050, dated October 1, 2004, 2 pages.	
		INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY, "Written Opinion", PCT/US02/06981, dated October 3, 2004, 8 pages.	
		CLAIMS, PCT/US02/06981, 8 pages.	
		NORVAG, KJETIL, "Issues in transaction-time temporal object database systems", Journal of Database Management v12, n4, dated October – December 2001, Pages 40-51.	
		MOLESKI, LORI D., ET AL., "Database Locking Protocols for Large-Scale Cache-Coherent Shared Memory Multiprocessors: Design, Implementation and Performance", Department of Computer Science, University of Massachusetts, Dated June 6, 1995, 24 pages.	

Examiner Signature		Date Considered	
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Examiner Name	Coulter, Kenneth R
Attorney Docket Number	50277-2200

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**NON PATENT LITERATURE DOCUMENTS**

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		MOLESKI, LORI D., ET AL., "Efficient Locking for Shared Memory Database Systems, Computer Science Technical Report 94-10, Department of Computer Science, University of Massachusetts, March 1994, 28 pages.	
		RAHM, ERHARD "Concurrency and Coherency Control in Database Sharing Systems", University of Kaiserslautern, Dept. of Computer Science, Technical Report ZRI 3/91, retrieved from website: < <a href="http://citeseer.ist.psu.edu/453882.html">http://citeseer.ist.psu.edu/453882.html</a> >, December 1991, Revised: March 1993, 62 pages.	
		TANENBAUM, ANDREW S., "Structured Computer Organization", Prentice-Hall, Inc., Second Edition, 1984, 5 pages.	

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